



05909 U.S. PTO

By Express Mail #EV364781081US April 1, 2004

Attorney Docket No.: 5106-7CIP2

Check box if applicable:  
☐ DUPLICATE

19270 U.S. PTO  
10/816365



## UTILITY PATENT APPLICATION TRANSMITTAL

*Submit an original and a duplicate for fee processing*

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Mail Stop **Patent Application**  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**THIS APPLICATION IS A ☐ CONTINUATION ☐ DIVISIONAL ☒ CONTINUATION-IN-PART OF U.S. PATENT APPLICATION SERIAL NO. 09/996,837 WHICH WAS FILED November 29, 2001.**

Transmitted herewith for filing is the utility patent application of:

Inventor(s): Chi ENG, Michael LEMBERG, Alexander MASHINSKY

For: Method and a System For Settlement of Trading Accounts

Enclosed are:

- Transmittal letter with Fee Computation Sheet
- General Authorization For Payment of Fees
- Title Page, Specification, Claims & Abstract (75 pages)
- Unexecuted Declaration and Power of Attorney (4 p.)
- 19 sheet(s) of drawing(s) (Figs. 1 to 15)
- Check for \$493.00 for filing fee
- Small Entity Status is being claimed for this application.
- Return Receipt Postcard

This application is being assigned to: **Arbinet-thexchange**

☐ Please charge my Deposit Account No. 03-2412 in the amount of \$\_. A duplicate copy of this sheet is enclosed.

☒ The Commissioner is hereby authorized to charge payment of the following fees associated with this application or credit any overpayment to Deposit Acct. No. 03-2412.

☒ Any additional filing fees required under 37 CFR 1.16 not otherwise paid by check.

☒ Any patent appl. processing fees under 37 CFR 1.17

☒ The issue fee set in 37 CFR 1.18 at 3 months from mailing of the Notice of Allowance, pursuant to 37 CFR 1.311 (b) provided the fee has not already been paid by check.

☒ Any filing fees under 37 CFR 1.16 for presentation of extra claims.

☐ **Incorporation By Reference** (useable if submitting copy of declaration from prior application -- for continuation/divisional applications only):

The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

☐ Amend the specification by inserting before the first line the sentence (entire genealogy should be set forth):

"This is a continuation-in-part of application Serial No. 09/996,837, filed November 29, 2001 which is a ."


☐ Priority is claimed for this invention and application, corresponding applications having been filed in USA on November 29, 2000, No. 60/253,887, USA on October 18, 2000, No. 09/692,769, USA on September 11, 1997, No. 08/927,443, USA on August 29, 1997, No. 08/920,567, respectively.

☐ a. Certified copies of the priority document(s) is (are) already of record in U.S. Application Serial No. 09/996,837, filed November 29, 2001, receipt of which has been acknowledged by the US PTO on in Paper No. .

☐ b. The certified priority document(s) is (are) enclosed herewith for filing in this continuing application.

- ☐ The undersigned declares that the copy of the application papers (Specification, Claims, Abstract, Declaration and Power Of Attorney, and drawings and ) filed herewith are true copies of those originally filed in the U.S. Patent Office for Application Serial No. 09/996,837.
- ☒ The undersigned declares that all statements made herein of his or her own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Respectfully submitted,  
COHEN, PONTANI, LIEBERMAN & PAVANE

By:   
Alfred W. Froebrich, Reg. No. 38,887  
551 Fifth Avenue, Suite 1210  
New York, New York 10176  
Tel. (212) 687-2770

Dated: April 1, 2004

By Express Mail #EV364781081US

Attorney Docket No.: **5106-7CIP2**

## **FILING FEE COMPUTATION SHEET**

*Submit an original and a duplicate for fee processing*

Dated: April 1, 2004

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

In re Application of: **Chi ENG et al.**  
For: **Method and a System For Settlement of Trading Accounts**  
Parent Serial No.: **09/996,837**

The filing fee has been calculated as shown below:

| FOR:   | Col. 1           | Col. 2    | SMALL ENTITY  | OTHER THAN<br>SMALL ENTITY |
|--|------------------|-----------|---------------|----------------------------|
|  | # FILED          | # EXTRA   |               |                            |
| BASIC FEE  |                  |           | <b>\$385</b>  | <b>\$770</b>               |
| TOTAL CLAIMS   | <u>32</u> - 20 = | <u>12</u> | x 9 = \$108   | x 18 = \$                  |
| INDEPENDENT<br>CLAIMS  | <u>2</u> - 3 =   | <u>0</u>  | x 43 = \$     | x 86 = \$                  |
| <input type="checkbox"/> MULTIPLE<br>DEPENDENCY                            |                  |           | +\$145 = \$   | +290 \$                    |
| * If the difference in<br>Col. 1 is less than zero,<br>enter "0" in Col. 2 |                  |           | TOTAL: \$ 493 | \$                         |

05909 U.S. PTO  
040104

Attorney Docket # 5106-7CIP2

By Express Mail # EV364781081US  
Patent

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re CIP Application of

Chi ENG et al.

Parent Serial No.: 09/996,837

Parent Filed: November 29, 2001

For: Method and a System For  
Settlement of Trading Accounts

Check box if applicable:

☐ DUPLICATE

**GENERAL AUTHORIZATION FOR PAYMENT OF FEES  
AND PETITIONS FOR EXTENSIONS OF TIME**  
*Submit an original and a duplicate for fee processing*

**Mail Stop Patent Application**

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Sir:

The Commissioner is hereby authorized to credit overpayments or charge the following fees to Deposit Account No. 03-2412

- [X] Any filing fees required under 37 CFR §1.16.
- [X] Any patent application processing fees under 37 CFR §1.17 not otherwise paid by check.
- [X] The issue fee set in 37 CFR 1.18 at 3 months from mailing of the Notice of Allowance, pursuant to 37 CFR 1.311 (b) provided the fee has not already been paid by check.
- [X] Any filing fees under 37 CFR 1.16 for presentation of extra claims.

Respectfully submitted,  
COHEN, PONTANI, LIEBERMAN & PAVANE

By



Alfred W. Froebrich

Reg. No. 38,887

551 Fifth Avenue, Suite 1210

New York, New York 10176

(212) 687-2770

Dated: April 1, 2004